

# Audit plan

**NATIONAL BIOSOLIDS PARTNERSHIP  
INTERIM AUDIT PLAN  
CITY OF GRAND RAPIDS  
ENVIRONMENTAL PROTECTION SERVICES DEPARTMENT  
GRAND RAPIDS, MICHIGAN  
November 9 – 10, 2017**

Company / Client:	City of Grand Rapids
Street / P.O. box:	1300 Market Ave. SW
City / State / post code:	Grand Rapids, MI 49503-4880
Type of Audit:	Interim Audit
Standard / Date of issue:	National Biosolids Partnership Biosolids Management Program – August 2011
Audit Dates (on site):	October 15 - 16, 2015
Management Representative:	William R. Kaiser, <a href="mailto:wkaiser@grand-rapids.mi.us">wkaiser@grand-rapids.mi.us</a>
Telephone Number	(O) 616-456-3214; Dave Harris (C) 616-443-7784
Utility Manager	Michael Lunn, <a href="mailto:mlunn@ci.grand-rapids.mi.us">mlunn@ci.grand-rapids.mi.us</a>
Lead Auditor	William R. Hancuff – 703-585-4799
Auditor	NA

We request that the following be made available to be used for audit purposes:

- ◆ A reserved space to be used for audit purposes
- ◆ An organization chart with full names of personnel
- ◆ The audit plan with full names of points of contact for each element
- ◆ Facility layouts, where appropriate
- ◆ A master list of all documented procedures with current revisions
- ◆ Access to a copier and the possible use of an HP Laser Printer

Should you have any questions, please don't hesitate to contact me at: (703) 585-4799

***Thank you!!! Bill Hancuff***

The organization must provide representatives to accompany team members during the entire audit.

# Audit plan

## DAY 1

Date	Time <sup>1)</sup>	Auditor	Elemt.	Activity / Element	Department	Name <sup>2)</sup>	Location
11/9/17 Thurs	8:00 – 8:15	Bill		Arrival, intro, general orientation, opening meeting	Environmental	William R. Kaiser	WWTP Offices
	8:15 – 9:00	Bill	Element 1 & 2	EMS Manual & Policy, including Element 2 Procedure	Management Team	William R. Kaiser	WWTP Offices
	9:00 – 10:00	Bill	*Element 16	Review internal & interim audit results	Audit team	TBD	
	10:00 – 11:00	Bill	*Element 14	Review corrective and preventive actions & implementation of CAs	Environmental	William R. Kaiser	WWTP Offices
	11:00 – 11:30	Bill	Elements 4, 6 & 9	Interview state/county regulator(s)	DNR	State regulator	WWTP Offices
	11:30 – 12:00	Bill	*Elements 6 & 9	Tele interview w/select interested parties	Environmental & Land owner	William R. Kaiser & others	WWTP Offices
	12:00 – 1:00	Bill		Lunch			
	1:00 – 3:30	Bill	Element 4	Review Legal Requirement procedures & implementation	Pretreatment Representative	TBD	WWTP Offices
	3:30 – 4:00	Bill	Element 15 and 17	Management Review and Management Report	ESD Manager	Mike Lunn	WWTP Offices
	4:00 – 5:00	Bill		Auditor summary followed by daily briefing	Environmental	William R. Kaiser	WWTP Offices

## DAY 2

Date	Time <sup>1)</sup>	Auditor	Elemt.	Activity / Element	Department	Name <sup>2)</sup>	Location
11/10/17 Friday	8:00 – 9:30	Bill	Element 7	Review Roles & Responsibilities procedure and implementation including records		William R. Kaiser	
	9:30 – 10:30	Bill	*Element 5	Review Goals and Objectives	EMS Mgmnt Rep(s)	William R. Kaiser	WWTP Offices
	10:30 – 11:30	Bill	Elements 11	Emergency Preparedness & Response procedure & implementation	Environmental	William R. Kaiser	WWTP Offices
	11:30 – 12:30	Bill	Element 4, 6 & 9	Outcomes related to regulatory compliance & interested parties relations	Environmental	William R. Kaiser	
	12:30 – 1:30	Bill		Lunch			
	1:30 – 2:30	Bill	Multiple elements	Outcomes relative to environmental performance and quality practices	Environmental	William R. Kaiser	WWTP Offices

## Audit plan

	2:30 – 4:00	Bill		Prepare Letter Report	NA	NA	WWTP Offices
	4:00 – 4:30	Bill		Auditor summary followed by closing meeting	Environmental	William R. Kaiser	WWTP Offices

1) Changes possible 2) To be determined by the client

Note: Interested parties are encouraged to attend any portion of the audit in which they may have an interest.

In person or telephone interviews with regulators will be included as part of the audit.

The scope of work specifically includes a review of the requirements of Elements 5, 14, and 17; namely the organization's progress toward goals and objectives; BMP outcomes (environmental performance, regulatory compliance, interested party relations, and quality practices); actions taken to correct minor non-conformances; the management review process; and corrective and preventive action requests and responses. Because other system elements interact with the above specific requirements and elements interim audits routinely include partial auditing of activities found in elements 1, 2, 4, 6, 9, 15, and 16.

The NBP auditor guidance indicates that individual interim audits only cover a portion of the BMP. However, over the course of the four interim audits conducted between verification audits the entire BMP (i.e. all 17 elements) must be covered. To that end, individual elements to be audited in their entirety during this audit will include Elements 5, 6, 9, 14 and 16 . Work will involve document review, interviews, and field activity evaluations.